



# Abuse & Neglect Prevention Task Force

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# Background Information

- Established through an Executive Order issued by Governor Ducey on February 6, 2019 (State of Arizona Executive Order 2019-03)
  - Called on the AHCCCS, ADHS, and DES to convene a workgroup to outline steps necessary to protect and improve care for individuals with disabilities
  - Required involvement of individuals with disabilities, disability advocacy organizations, providers, and family members
  - Required submission of a report to the Governor's office by November 1, 2019

# Background Information

- Agency work on the Abuse & Neglect Task Force Recommendations
  - AHCCCS is the lead agency for 14 of the 30 recommendations
  - DES is the lead agency for 15 of the 30 recommendations
  - ADHS is lead on 1 recommendation
  - Many staff across agencies engaged in interagency work on the recommendations
  - Focus on improving interagency cooperation
  - Some delays in progress due to the impact of COVID-19

# Recommendation Themes

- Prevention and Accountability
- Statewide Public Awareness Campaign
- Multi-Agency Coordination
- Signage
- Training for Vulnerable Individuals and Families
- Identification, Tracking, and Analysis of Incidents
- Workforce Development
- Adult Protective Services Registry and Training
- Supportive Resources to Help Manage Caregiver Stress
- Public Access to Setting Monitoring Reports
- Review of Confidentiality Requirements
- Review of Status and Results of Recommendations



# Activities and Updates 4th Quarter 2020 (Post-September 25, 2020 Update)

# Prevention and Accountability

- Recommendations Lead Agency: AHCCCS **Rec #1, Rec #2, Rec #18**
  - Develop, disclose, implement and monitor policies that seek to
    - Prevent abuse, neglect, and exploitation
    - Facilitate incident reporting and investigation
    - Foster incident stabilization and recovery
  - Post signage detailing the process for anonymous reporting and whistleblower protections and offer training on prevention of abuse, neglect, and exploitation
  - Require that all AHCCCS and DES contracts develop and implement the above policies and practices no later than October 1, 2020
- **4<sup>th</sup> Quarter 2020 Update**
  - **New AHCCCS Minimum Subcontract Provision (MSP) implemented October 1, 2020. MSP includes provider requirements for institutional, residential, employment and day programs for Rec #1 and #2 - MSPs available at: <https://www.azahcccs.gov/AHCCCS/CommitteesAndWorkgroups/abuseneglect.html>**
  - **AHCCCS Minimum Subcontract Provisions apply to all AHCCCS health plans (including DES/DDD) subcontracts as well as all AHCCCS registered providers**
  - **Signage has been developed by DES and we continue to meet with stakeholders/self-advocates to ensure the signage is accessible to all vulnerable populations**

# Monitoring Activities for MSP Compliance

- Amendments to AHCCCS health plan contracts and Medical Policy Manual (AMPM) to enhance Contractor oversight and monitoring
  - Require quality monitoring including provider compliance with policies, training and signage requirements as well as oversight of pre-hire search of APS registry
  - Health Plan deliverable submissions to AHCCCS to include *how* Contractors will monitor and oversee these MSP requirements
  - HCBS provider audits to include information on how staff are trained on the prevention of abuse, neglect and exploitation; how individuals receive information about their rights; how the setting posts information about member rights.
  - QOC investigations to now include specific focus on compliance with MSP requirements
  - Quality Review Committee to develop standardized monitoring tools

# Public Awareness Campaign

- Recommendation Lead agency: **DES Rec #22 & #23**
  - Initiate a public awareness campaign with the following key messages
    - Arizona values and protects vulnerable individuals
    - Arizona is committed to recognizing signs and symptoms of abuse, neglect, and exploitation
    - Arizona encourages all parties to report concerns
    - Arizona supports the provision of information about how to make a report, whistleblower protections, and the process and timeline after a report is made
    - Arizona supports the provision of information about the principles and benefits of trauma-informed care and compassionate care
    - Arizona supports the provision of information about accessing trusted resources for information and support
- **4<sup>th</sup> Quarter 2020 Update**
  - **Tool-kit has been developed and meetings with stakeholders and community based organizations continue to take place. Once the tool-kit content is finalized it will be posted for public comment for 30 days and will go live soon thereafter**
  - **Currently making adjustments so that the tool-kit content addresses signs/symptoms of abuse in a virtual setting**

# Multi-Agency Coordination

- Recommendation Lead Agencies include both **AHCCCS Rec #6 & DES Rec #3, #4, #5, #7**
  - Meetings with Independent Oversight Committees (IOCs) to ensure an understanding of each entity's role and responsibility about incident reporting and investigation and to support a collaborative approach when an incident occurs
  - Develop and disseminate comprehensive flow charts detailing reporting and investigation processes and oversight mechanisms for all types of abuse, neglect, and exploitation
  - Review systems in which vulnerable individual maltreatment allegations are reported to government entities to reduce duplication and ensure the efficient use of resources
  - Employ a coordinated, multidisciplinary team approach in responding to incidents of abuse and neglect
  - Convene a workgroup of medical directors from AHCCCS and its contracted MCOs to review current standards of care in intermediate care facilities for individuals with intellectual disabilities (ICF/IIDs)

# Multi-Agency Coordination

- 4<sup>th</sup> Quarter Update

- Meeting with Agencies and IOC Chairs held December 7th to review updated flow charts incorporating IOC processes and future meeting topics. The flow chart was approved.
- Comprehensive Flow charts detailing reporting and investigation processes posted on the AHCCCS website, updated following the previous IOC Quarterly meeting, and simplified versions available as posters for facilities: <https://www.azahcccs.gov/AHCCCS/CommitteesAndWorkgroups/abuseneglect.html>
- Legal teams from AHCCCS and DES are reviewing these recommendations for confidentiality restrictions that currently impact sharing information between agencies
- A planning meeting with state agencies (DES, AHCCCS, ADHS, AZ Corporation Commission, AG) was held on 12/2/2020. A charter was introduced to employ a coordinated and collaborative approach between key state agencies in addressing incidents of abuse and neglect that includes cross reporting, identification of areas for and implementation of process improvements, an overall improved communications across agencies. ADHS will be the lead agency. The AHCCCS Director and the DES Deputy Director will be Executive Sponsors. A regular cadence of meeting with identified agency representatives will commence March 2021
- Multi-agency workgroup of Chief Medical Officer's(CMO) and Medical Directors, supported by Mercy Care and UnitedHealthCare, have completed the recommendations for all Intermediate Care Facilities(ICF/IIDs) in AZ, specific to preventing, detecting and treating abuse, neglect and exploitation. The final report will be published to the DDD website in January 2021. DDD has begun work to implement the recommendations.

# Training for Vulnerable Individuals and Families

- Recommendation Lead Agency: DES **Rec #11**
  - Provide evidence-based training for vulnerable individuals and their families on abuse, neglect, and exploitation prevention, reporting, and trauma recovery
- **4th Quarter 2020 Update**
  - **A new Project Lead has been assigned and will provide an outreach and community focus**
  - **Stakeholder engagement meetings will begin in January 2021 with self-advocates, family members, advocacy organizations, agency staff and providers**

# Identification, Tracking, and Analysis of Incidents

- Recommendations Lead Agency: **AHCCCS Rec #13**
  - Find and implement methods to use claims data to identify potential abuse and neglect and confirm that incidents are appropriately reported
- **4<sup>th</sup> Quarter 2020 Update**
  - **AHCCCS developed and implemented a process to identify claims/encounters with potential for abuse and neglect incidents for QM compliance assessment of reporting**
  - **AHCCCS to share process with health plans for more timely self monitoring**
  - **AHCCCS to require health plans to track issues and address any concerns with provider reporting**

# Public Access to Monitoring Reports

- Recommendation Lead Agency: **DES #26**
  - Conduct a review of the AHCCCS and DES websites and make any necessary changes to facilitate public access to incident data as well as resources related to preventing abuse and neglect and reporting incidents; recommend that DES/DDD post monitoring reports for group homes and adult developmental homes
- **4<sup>th</sup> Quarter 2020 Update**
  - **Workgroups will begin in January 2021**
  - **Liberty Consulting technical teams have begun multi-agency assessments**
  - **The APS Data Dashboard went live on 12/09/2020: <https://des.az.gov/APSDData>**

# Review of Confidentiality Requirements

- Recommendation Lead entity: **DES Rec #27**
  - Convene a workgroup of stakeholders should be convened, including relevant state agencies, to identify potential revisions to state statute and agency policies to allow confidential information sharing between parties while maintaining required privacy and confidentiality protections
- **4<sup>th</sup> Quarter 2020 Update**
  - **Existing federal, state statutes and rules and policy standards have been collected from each agency and a matrix is being developed identifying challenges and opportunities concerning sharing confidential information**
  - **Workgroup meetings with the agencies will begin in early January 2021; other stakeholders will be added to those meetings in the first quarter**

# Other Recommendations

- Recommendations Lead Agency: **AHCCCS Rec #24 & #28**

- Build on previous efforts and implement a system-wide trauma-informed approach, with attention to the special needs of vulnerable individuals and their families, including support when families interact with clinicians, law enforcement, and other professionals
- Study the Independent Monitoring for Quality (IMQ) processes used in other states and consider their application in Arizona by December 31, 2020

- **4<sup>th</sup> Quarter 2020 Update**

- **AHCCCS collaborated with DDD to highlight the existing use of trauma informed approaches and identify additional areas of opportunity. This includes interventions targeted at improving the direct provision of services, interactions with law enforcement, and ongoing training available to families and clinicians.**
- **Currently recruiting interested community stakeholders and family members through AHCCCS Office of Individual and Family Affairs to participate in ongoing work around NCI/IMQ processes in Arizona.**
- **Summary report completed on Recommendation #28 incorporating September 2020 survey through NASDDDS on IMQ for the nationwide developmental disabilities community**
- **Recommendation reports for both completed in early December and include ongoing efforts to build upon and improve current practices.**

# Review of Status and Results of Recommendations

- **Recommendation #30**
  - Convene Task Force in late 2020 to review the status and results of these recommendations
  - Lead entity: Governor's Office



# Stakeholder Engagement

# Stakeholder Engagement Highlights

- Rec #5 - Employ a coordinated, multidisciplinary team approach in responding to incidents of abuse and neglect
  - **A planning meeting with state agencies (DES, AHCCCS, ADHS, AZ Corporation Commission, AG) was held on 12/2/2020. A charter was introduced to employ a coordinated and collaborative approach between key state agencies in addressing incidents of abuse and neglect that includes cross reporting, identification of areas for and implementation of process improvements, an overall improved communications across agencies. A regular cadence of meeting with identified agency representatives will commence March 2021**
- Rec #6 - Meetings with Independent Oversight Committees (IOCs) to ensure an understanding of each entity's role and responsibility about incident reporting and investigation and to support a collaborative approach when an incident occurs
  - **A fourth workgroup meeting took place on 12/7/2020 and the newest changes were discussed. IOCs approved the changes and have agreed to continue to meet quarterly to discuss any necessary changes or challenges that arise**

# Stakeholder Engagement Highlights Cont.

- Rec #11 - Provide evidence-based training for vulnerable individuals and their families on abuse, neglect, and exploitation prevention, reporting, and trauma recovery
  - **Engagement of providers, advocacy groups, DDD parents and members for training development will begin in January 2021**
- Rec #18 - Require that all AHCCCS and DES contracts develop and implement the above policies and practices no later than October 1, 2020
  - **Multiagency workgroup engaging with advocacy groups and ADDPC was held on 12/7/20. The group was able to discuss and brainstorm ideas that will make signage more accessible. Advocates provided examples of what can be used and DES will take ideas back to their Graphics & Design team to provide a new draft**

# Stakeholder Engagement Highlights Cont.

- Rec #20 - Improve the APS Registry website to make it easier for employers to check the Registry before hiring new employees
  - **Monthly meetings with stakeholders (DES, APS, DCS, DHS, AHCCCS, DPS) since June. The integration of APS Registry into AZ Care Check has been developed, tested, and went live on Monday 7/27/2020. gap-analysis has been completed. Feedback from AAPPD in November 2020 resulted in additional enhancements to the site for improved use for providers**
- Rec #22/#23 - Arizona should commit to creating a statewide culture of abuse, neglect, and exploitation prevention
  - **A Statewide Public Awareness Campaign is in development. Funding is needed to move the campaign forward; continue to meet with stakeholders (DES, AHCCCS, OIFA Banner, OIFA Mercy Care, OIFA United, Autism Society of Greater Phoenix, Raising Special Kids, The Arc) and solicit feedback and make necessary to toolkit content edits.**

# Stakeholder Engagement Highlights Cont.

- Rec #27 - Convene a workgroup of stakeholders should be convened, including relevant state agencies, to identify potential revisions to state statute and agency policies to allow confidential information sharing between parties while maintaining required privacy and confidentiality protections
  - **Information regarding statutes and regulations governing information sharing and confidentiality was requested and received from stakeholders (DES, AHCCCS, ADHS, DCS, DPS). Monthly outreach will continue and workgroup meetings will take place starting in January 2021. Legislation may be needed; DES Office of Legislative Services is engaged**



# What's Next?

# Next Steps

## Measuring Outcomes and Success

- **Work with Sonoran University Centers for Excellence in Developmental Disabilities (UCEDD)**
- **Identification of manageable and impactful metrics to measure the outcomes and success of the Task Force work**
- **Independent, objective 3rd party with expertise in both research and people with disabilities**
- **Build off of available data, focus on results**

## APS to Establish Processes with all Health Plans (including DDD)

- **Education/training in three upcoming and ongoing health plan meetings**
  - **Reinforce importance of Task Force work**
  - **Highlight importance of APS, charge, responsibilities and interface with health plans**
  - **Improve collaboration with agencies and case management**
  - **Cross-reporting to health plans and support outreach, education and transparency efforts**
  - **Identification of gaps, misconceptions and areas for process improvement**

**Continue work on recommendation implementation and systems improvement**



# Questions